
Project Management Office

Project Charter for Grants, Contracts, and Loans Management System

Revision #1.7

Office of Financial Management

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Project Statement

Washington State's Office of Financial Management (OFM), Accounting Division, Statewide Financial Systems Unit in collaboration with the Washington State Departments of Ecology (ECY) and Community, Trade, and Economic Development (CTED) has initiated a *Roadmap* enterprise business initiative to improve and automate state agency grant, contract, and loan management end-to-end business processes and reporting capabilities. It is understood that current, priority business needs will be addressed and that the *Roadmap* will be used for guidance in designing the enterprise system.

OFM will lead the effort, joined by the ECY and CTED as the first customers of the new Grants, Contracts, and Loan Management (GCLM) system. After the initial implementation at ECY and CTED, it is proposed that the system be scaled to serve as an enterprise system for use by all Washington State agencies. The proposed enterprise system would handle in excess of 250,000 agreement documents and related data per year and more than 35,000 users. It is OFM's intention to accommodate an unlimited number of electronic versions of signed agreements and related data elements.

The enterprise system will ultimately consist of: (1) core, statewide functions, with those operations administered and funded through OFM; and (2) agency-unique functions to be coordinated with the enterprise system but administered and funded by each using agency. Both core functions and agency-unique functions must be addressed in order for this project to be considered a success.

Business Drivers/Background

The Departments of ECY and CTED control and disburse millions of dollars in grants and loans.

In the 2003-2005 biennium, ECY processed transactions totaling \$392 million. The current Contracts and Grants Payable system used by ECY is at its end of life and must be replaced.

CTED distributes 93% of its annual budget through grants, contracts, and loans. Over \$1.2 billion in agreements are separately tracked within individual programs using manual procedures and spreadsheets.

In addition to the challenges facing ECY and CTED individually, it is often the case that money is sought by local governments to pay for large projects (i.e., sewage treatment plants). Currently, there is no centralized, on-line access to accessible information, across agencies, by local governments. An applicant must check with the individual programs in ECY and CTED and is required to

provide much of the same information in each application and repeat steps they may have already taken for another application in another program.

Additionally, legislators or citizens interested in how much was spent, and what was achieved in a specific community, do not have easy access to the data needed for such a review. When requests are made, staff must pull together a custom report from information located in spreadsheets, contract amendments, and memos across the two agencies.

These efforts are time consuming and inconsistent with the level of accountability and efficiency of process envisioned by Governor Gregoire, the Joint Legislative Audit and Review Committee (JLARC), and the recent Berk & Associates study located at

<http://www.ofm.wa.gov/roadmap/modeling/grantmanagement/WAInfrastructureAttachmentsE-I.pdf>.

Both ECY and CTED are seeking improved business practices and information systems that support their critical mission related to grants, contracts and loans.

Vision

1. Provides a rich source of current grant and loan project, contract data, and financial information for strategic planning, benchmarking, performance-based budgeting, proactive management of grant/loan programs, continuous process improvement, and response to ongoing requests from legislators, executive management and program staff;
2. Facilitates exchange of information to promote knowledge sharing and collaboration across grant making agencies, and make informed decisions regarding the billions of dollars of grant, loan and contract funds;
3. Improves accountability for the state's contractual commitments;
4. Empowers potential recipients and bidders to find and apply for funding to deliver projects that provide real value to, and on behalf of, citizens;
5. Delivers measurable grant, contract, loan, and vendor/contractor management process improvements;
6. Eventually becomes the state's enterprise system for managing grants, contracts, and loans, as employees recognize what processes we share and therefore do not perpetuate so many processes as unique; and
7. Supports the *Roadmap* objectives of business process transformation, an integrated architecture that allows new components to fit with current systems and accommodates agency-unique extensions where necessary, and measurement of the value of significant business process change.

Goal Statement

Procure and implement the GCLM system and related business process improvements in logical phases, accounting for time, resources, and scope.

Objectives

There are significant opportunities for improvements. A system that provides stakeholders a consistent and rules-based source of information will help the administration of agreements. It will also help those who need agreement information in order to plan, budget, and report on agency goals, programs, and projects. As well as the public, who are the ultimate beneficiaries of grants, contracts, and loan programs. Identified business objectives include:

1. Better information for better decisions and better results:
 - Comprehensive and current information about the state's grants, contracts, loans, and vendor/contractors;
 - Improved ability to monitor, measure and report on the effectiveness of awarded grant, contract and loan projects to achieve expected results, in alignment with the state's GMAP initiative;
 - Improved collaboration across grant, contract, loan making agencies;
 - Visibility into the entire sub-grant and agreement management processes from beginning to end;
 - Improved aids to planning, budgeting, and accountability; and
 - Ability to quantify unmet service delivery needs, by capturing data about eligible applications that exceed available funding.
2. Faster, better business processes:
 - Enterprise-wide adoption of best practices under a common framework;
 - Automation of end-to-end business process for grant, contract, and loan activities;
 - Performance metrics that can be used for continuous process improvement;
 - Elimination of duplicate data entry;
 - Elimination of manual agreement tracking spreadsheets;
 - Fewer errors; and
 - Less time spent responding to public disclosure requests to the extent data can be made directly available to the public or can be more easily compiled via the enterprise GCLM system.
3. Reduced risks:

- Frees up staff time to focus on agency priorities and high risk areas;
 - Standardized, controlled agreement content;
 - Shared access to vendor performance data;
 - More proactive monitoring of agreements due to timely alerts during the agreement management life cycle;
 - Improved audit compliance;
 - Easier compliance with records management regulations; and
 - Improved disaster recovery and system/data backup as an enterprise system.
4. Improved customer service:
- Easy access to the state's grant, contracting, and loan opportunities through an enterprise portal;
 - Increasingly standardized registration, application, and reporting business processes for grants, loans and contracts;
 - Automated processes for application, registration, progress reporting, and requesting payment;
 - Self-management of vendor registration information, for use by all agencies; and
 - On-line access to information about the status of applications, agreements, reports, and payments.
5. Reduced costs:
- Elimination of duplicative grant, contract, and loan management systems over time; and
 - More efficient grant, contract, and loan management processes.

Scope

In Scope:

Vendor Information/Solicitation Management: Functions related to registering applicants, contractors and vendors for notification of opportunities and payment, advertising grant, contract and loan opportunities, finding and applying for opportunities, evaluating proposals, awarding funds, and tracking vendor/contractor performance.

Grant Management: Functions related to reporting and monitoring of progress on grant projects for which funding is awarded by state agencies, evaluation, inspection and audit of projects, requesting and approving payments, and closing grants.

Loan Management: Functions related to reporting and monitoring of progress on loan projects for which funding is awarded by state agencies, evaluation, inspection and audit of projects, requesting and approving payments, and closing loans.

Contract Management: Functions related to developing and finalizing grant, contract and loan agreement documents, managing terms and conditions, monitoring agreements, closing agreements, plus ordering and requesting and approving payment on service contracts. GCLM also provides an enterprise repository for basic information about all of the state's agreements including revenue and non-financial agreements (e.g. Enterprise ID, purpose, vendor/ contractor, and amount).

The specific functionality that GCLM will provide includes:

1. An enterprise portal for advertisement and electronic submission of applications for grant and loan opportunities;
2. An enterprise self-service vendor/contractor registration process including collection of minority, woman, and veteran status data and OMWBE interface.
3. On-line evaluation of applications and proposals for grant and loan opportunities;
4. On-line assembly of electronic forms from a library of application, evaluation, payment request (invoice), and progress report form templates;
5. On-line assembly of draft agreements from a library of agreement templates, terms and conditions;
6. Electronic submission, processing, and approval of progress reports and requests for payment on grant, loan, and service contract agreements;
7. Electronic calendar/alerts for agreement events;
8. Tracking of payable agreement balances by phase, task, deliverable, and account coding;
9. Document management and workflow;
10. Electronic approval of agreements initiated by state agencies;
11. Performance measure tracking for grant, contract, and loan agreements (*within limits, since this area is still evolving*);
12. Account code validations and batching of payment transactions for AFRS (*loosely coupled to accommodate the WSDOT and the possibility of a new enterprise financial management system*), and
13. Comprehensive search capabilities; ad hoc and formatted reporting for information about the state's grants, contracts, and loans.

Out of Scope:

1. Management of grant money received by state agencies (e.g., funding received from Federal agencies for agency administrative activities);
2. Management and servicing of loans receivable (e.g., amortization schedules and repayment transactions for loan funds);
3. Management of revenue contracts (e.g., progress reporting and financial transactions);
4. Support for project management business processes (i.e., organizing and managing resources, such as people, space, and materials to complete a

project within defined scope, quality, time, and cost constraints. For example, GCLM will not provide tools to estimate, allocate, or acquire resources, assign tasks, or organize the work of a construction or systems development project);

5. Business process support for the state's procurement rules and processes; and
6. Business process support for ordering, receiving, and paying for goods.
7. Interfaces with agency internal systems.

Schedule

Official Project start date: July 1, 2007

Publish RFP – July 2007

Pre-proposal conference – August 2007

Evaluate proposals and reference checks – September 2007

Vendor demonstrations – October 2007

- **Recommendation to Executive Steering Committee – November 2007**

Project plans completed – September 2007

Business blueprint – September 2007

Fit/Gap analysis – May 2008

* **Re-baseline project – May 2008**

* **Pilot – September 2008**

Program Implementation

First Rollout – December 2008

Complete Rollout – June 2009

Project end date: June 30, 2009

- **= Key business decision points**

Cost Projection

| | Per Month | FY08 Mos. | FY09 Mos. | |
|---|-----------|--------------------|-------------------|--------------------|
| Employee FTE Total | | 8.0 | 6.8 | |
| Object A/B - Total Salaries/Benefits | | \$ 727,644 | \$ 626,466 | \$1,018,132 |
| Object C – Total PS Contracts | | \$172,000 | \$36,000 | \$208,000 |
| Project Quality Assurance (\$200 hourly) | \$6,000 | \$72,000 | \$36,000 | |
| Legal Services (\$435 hourly) | \$25,000 | \$100,000 | | |
| Object E – Goods & Services | | \$3,110,400 | \$628,200 | \$3,738,600 |
| Software Package | | | | |
| Licensing | | \$385,000 | | |
| Software Implementation/Integration | | | | |
| Initiation, Requirements, Specifications, and Configuration | | \$1,100,000 | | |
| Interfaces | | \$275,000 | | |

| | | | | |
|------------------------------------|----------|--------------------|--------------------|--------------------|
| Acceptance Testing Support | | \$220,000 | | |
| Data Conversion | | \$275,000 | | |
| Training, Deployment | | \$165,000 | | |
| Software Package Total | | \$2,420,000 | | |
| Software Support (20% Licensing) | | | \$77,000 | |
| Employee Related G & S | | \$12,000 | \$12,000 | |
| Contracted Testers (1) | \$13,200 | \$158,400 | \$79,200 | |
| Contracted Integration Analyst (1) | \$10,000 | \$120,000 | \$60,000 | |
| Contracted Developer, CTED | \$10,000 | \$30,000 | \$30,000 | |
| Contingency (15% Total Package) | | \$370,000 | \$370,000 | |
| Object J – Total Equipment | | \$117,500 | \$30,600 | \$148,100 |
| Object G – Travel | | \$7,500 | \$7,500 | \$15,000 |
| FY Totals | | \$4,135,044 | \$1,328,766 | |
| Biennial Total | | | | \$5,463,810 |

High Level Deliverables

The tangible, verifiable outcomes of work that satisfy the project objectives

| Deliverable | Description |
|--|--|
| Project Management Plans | A set of plans for managing this project including charter, investment, risk, issues, change, staffing, scheduling and staffing, communications, maintenance and operations, implementation and transition, testing, QA, and training. |
| Software Requirements Specification | Several documents containing the prioritized business and functional requirements. |
| Design documentation | A detailed description of the product that will be built/configured to meet the requirements. The design document is also used as system documentation by technical staff for maintenance and operations. |
| Test cases to support testing the system and reports | Detailed test scenarios that will be used for testing the product. The test cases are also used to support future changes to the system. |
| System and reports | The system and reports that meet the project objectives. |
| Training plan and user tutorials | Training classes and materials prepared to support training customers. |

User system manuals

Manuals for customers to use for reference on how to use the system.

Project Organization

Roles & Responsibilities

Executive Sponsor

Sadie Rodriguez-Hawkins, *Senior Assistant Director, Accounting Division, OFM*

Management

- Identifies project Executive Steering Committee members
- Advises the Executive Steering Committee and Project Manager of relevant OFM or external issues, which may have an impact on the project
- Provides strategic direction
- Communicates project status to OFM Management Team

Executive Steering Committee

Sadie Rodriguez-Hawkins, *Senior Assistant Director, Accounting Division, OFM*

Jan Marie Ferrell, *Deputy Director, CTED*

Polly Zehm, *Deputy Directory, DOE*

Management

- Provides strategic advice on prioritization and risk as system plans, project development, and implementation proceeds.
- Provides direction and guidance for key business strategies and initiatives
- Link between the project team and top management
- Works through the Project Manager to express project or management concerns to the project team
- Advises the Project Manager of any changes in business direction or policy, which may have an effect on the project
- Advises the Project Manager of protocols, political issues, potential sensitivities, etc.
- Fosters teamwork
- Assists in identifying project critical success factors
- Supports the Project Manager in conflict resolution

Project

- Champions the project
- Reviews and approves major deliverables
- Reviews project progress on a regular basis

- Encourages stakeholder involvement and builds and maintains their ongoing commitment through effective communication strategies
- Gains consensus among stakeholders when differences of opinion occur
- Assists in identifying and quantifying business benefits to be achieved by successful implementation of the project
- Approves major deliverables such as the Project Charter, Project Plan and Risk Management Plan
- Reviews and approves changes to plans, priorities, deliverables, schedule, etc.
- Evaluates the project's success on completion.

Prioritizing

- Makes major project decisions

Issues

- Acts as an arbiter in conflict situations
- Removes business-related roadblocks for the Project Manager

DIS Oversight

Connie Michener, ISB Oversight Consultant, DIS Project

- Project Oversight
- Interface with Information Services Board
- Communicate with ISB members to identify concerns, provide accurate project status and issues
- Assist the project in compliance with State and ISB requirements
- Identify possible common service areas
- Attend Executive Steering Committee meetings and review documentation as needed to provide advice, evaluate project risks, and help develop solutions and mitigation strategies
- Assist in the identification of multi-agency IT projects
- Function as a liaison for DIS services
- Provide additional project management expertise
- Work with external quality assurance (QA) in areas of concern

OFM Business Manager

Lynne McGuire, Chief Information Officer, OFM

Management

- Works with the Project Manager, in a supervisory role, to express project or management concerns to the project team
- Advises the Project Manager of protocols, political issues, potential sensitivities, etc.
- Fosters teamwork

- Supports the Project Manager in conflict resolution

Project

- Validates project plans and project impacts
- Ensures consistency with enterprise architecture principles and data standards
- Ensures appropriate cross-agency communication and participation
- Approves major project expenditures

Project Manager

Doug Beam, *Accounting Division, Statewide Financial Systems Unit, OFM*

Management

- Performs a key communication role with Design team, Planning team Executive Sponsor, and Executive Steering Committee
- Manages resource allocation
- Coordinates the team's daily activities
- Drives critical decisions
- Drives risk and change management processes
- Defines funding strategy

Project

- Oversees planning and analysis process
- Oversees the functional specification development
- Oversees the design process
- Implements change control which includes requirements, functional specifications, design, and report specifications
- Creates, manages, and monitors the master schedule
- Tracks project progress and manages status reporting
- Ensures the delivery of a quality product
- Gauges and monitors organization readiness
- Performs cost control by monitoring expenses against the budget
- Ensures stakeholders and sponsors are adequately involved

Communications

- Manages communications with all affected stakeholders

Prioritizing

- Makes major project decisions

Issues

- Manages issues and risks through risk monitoring and control and issues monitoring and control

Product Manager/Consultants

Owen Barbeau, *Accounting Division, Statewide Financial Systems Unit, OFM*

Jason Henderson, *CTED*

Liz Saylor, *Ecology*

Rick Castro, *Accounting Division, Statewide Financial Systems Unit, OFM*

Project

- Establishes and maintains business case for the product
- Develops and embraces the vision statement
- Ensures that the entire business process is taken into consideration
- Understands how project/system is integrated with the complete business process
- Looks for ways to maximize product features and capacity for the available resources
- Strives to improve business processes before and as part of system design
- Assists in design and development
- Makes process-related policy decisions that affect the project
- Clarifies policy and statutory requirements
- Ensures the delivery of a quality product

Communications

- Manages communications with all affected stakeholders
- Ensures business expectations are articulated and understood by the project team
- Communicates both business and user requirements to the team and stakeholders
- Markets application to other agencies

Requirements

- Develops agency program inventory and baseline documentation
- Works with OFM Product Manager and Agency program staff to analyze business requirements and produce functional designs
- Performs business and system analysis
- Gathers and prioritizes business requirements
- Writes the system and functional requirements with input from other team leaders
- Designs program enhancements
- Designs agency reports

Prioritizing

- Ensures that the needs of all customers are met, to the extent possible within project scope, schedule and resource constraints
- Prioritizes features and exception fixes
- Manages agency change requests

Testing and Stabilization

- Reviews test plans and test cases
- Participates in usability acceptance testing

User Education and Training

- Organizes and conducts demonstrations to customer groups

- Develops user aids such as quick reference cards and tutorials
- Creates training plan
- Develops training materials
- Conducts training

Developer

Travis Nation, *Accounting Division, Statewide Financial Systems Unit, OFM*

Management

- Provides regular development status reports to the Project Manager
- Builds proof of concept prototypes
- Provides design and construction estimates to Project Manager
- Coordinates development effort

Project

- Develops and maintains development schedule
- Ensures the delivery of a quality product
- Participates actively in the creation and review of the system and functional specifications
- Works in concert with Product Manager/Consultant to understand business, system, and functional requirements
- Works with Testers and Product Manager/Consultant to ensure a quality product
- Develops plans for rollout, installation, and support for the operational system

Technical

- Builds a solution which meets the system and functional specifications
- Produces clear and complete design documentation prior to product construction
- Develops, builds, and/or configures the product
- Develops and manages logical software and documentation version control strategy
- Addresses and fixes exceptions in a timely manner

Testing and Stabilization

- Reviews testing plans and test cases

Communication

- Facilitates communication between Product Manager/Consultants
- Communicates problems with business, system, functional requirements to Manager/Consultants and team
- Communicates with Manager/Consultants when additional knowledge or clarification is needed for business, system, functional requirements understanding

Tester/Internal QA

Christi Johnson, Accounting Division, Statewide Financial Systems Unit, OFM

Management

- Provides regular testing status to the Project Manager
- Provides Project Manager with estimates for developing test cases, data, and test execution

Project

- Develops and maintains testing schedule
- Works with Developers, Product Managers/Consultants, and Contract staff to ensure delivery of a quality product
- Ensures the system complies with system and functional specifications
- Ensures the product is production ready

Communication

- Communicates issues to the team and provides team with the previous workday's issues report during the daily stand-up
- Facilitates communication between Product Managers/Consultants and Contract Testers
- Communicates problems with business, system, functional requirement to Product Managers/Consultants
- Communicates with Product Managers/Consultants when additional knowledge or clarification is needed for business, system, functional requirement understanding

Roles and Responsibilities

- Coordinates testing effort

Testing and Stabilization

- Prepares test plan and cases
- Provides test cases for review
- Tracks exceptions
- Analyzes exception statistics

Data Analyst

Unknown, To be determined

Project

- Ensures the delivery of a quality product

Technical

- Provides data dictionary
- Provides logical model of the data

Database Administrator

Don Morris, IS Division, OFM

Project

- Ensures the delivery of a quality product

Technical

- Designs and implements physical model of the data
- Updates database as needed
- Identifies technical issues with data model and provides consultation to the team

Advisory Committee

Gary Zieler, *ECY*; Dan Scavezze, *ECY*; John Toohey, *CTED*; Laura Wood, *OFM*; Susan Bush, *DSHS*; Greg Kline, *DSHS*; Servando Patlan, *(GA)*; Gary Wilkinson, *CTED*

Project

- Validates requirements, functionality, usability, and quality
- Focuses on grant, contract, and loan management business functions

External QA

Robert Fuller, *Pacific Consulting Group*
Timothy Easton, *Pacific Consulting Group*

Project

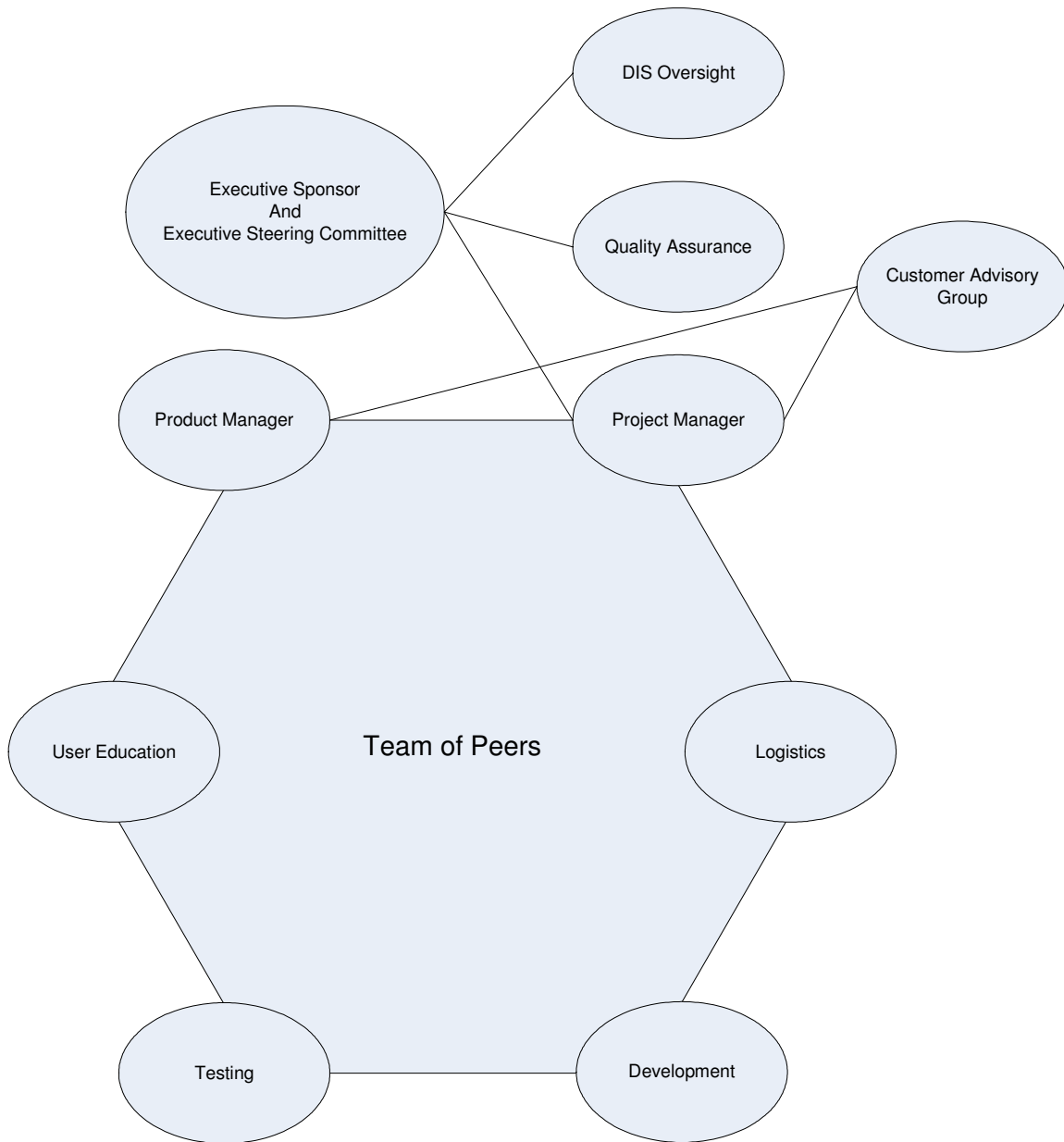
- Provides reports to the Executive Sponsor, the OFM Business Manager, and Project Manager
- Reports on
 - Completeness of Vision and Scope definition
 - Adequacy of risks assessments and mitigation plans
 - Adequacy of staffing and role definition
 - Adequacy of work / task planning
 - Adequacy of project control procedures
 - Constructive involvement of customers/advisory group
 - Adequacy of product design
 - Work product assessment

Information Services Board

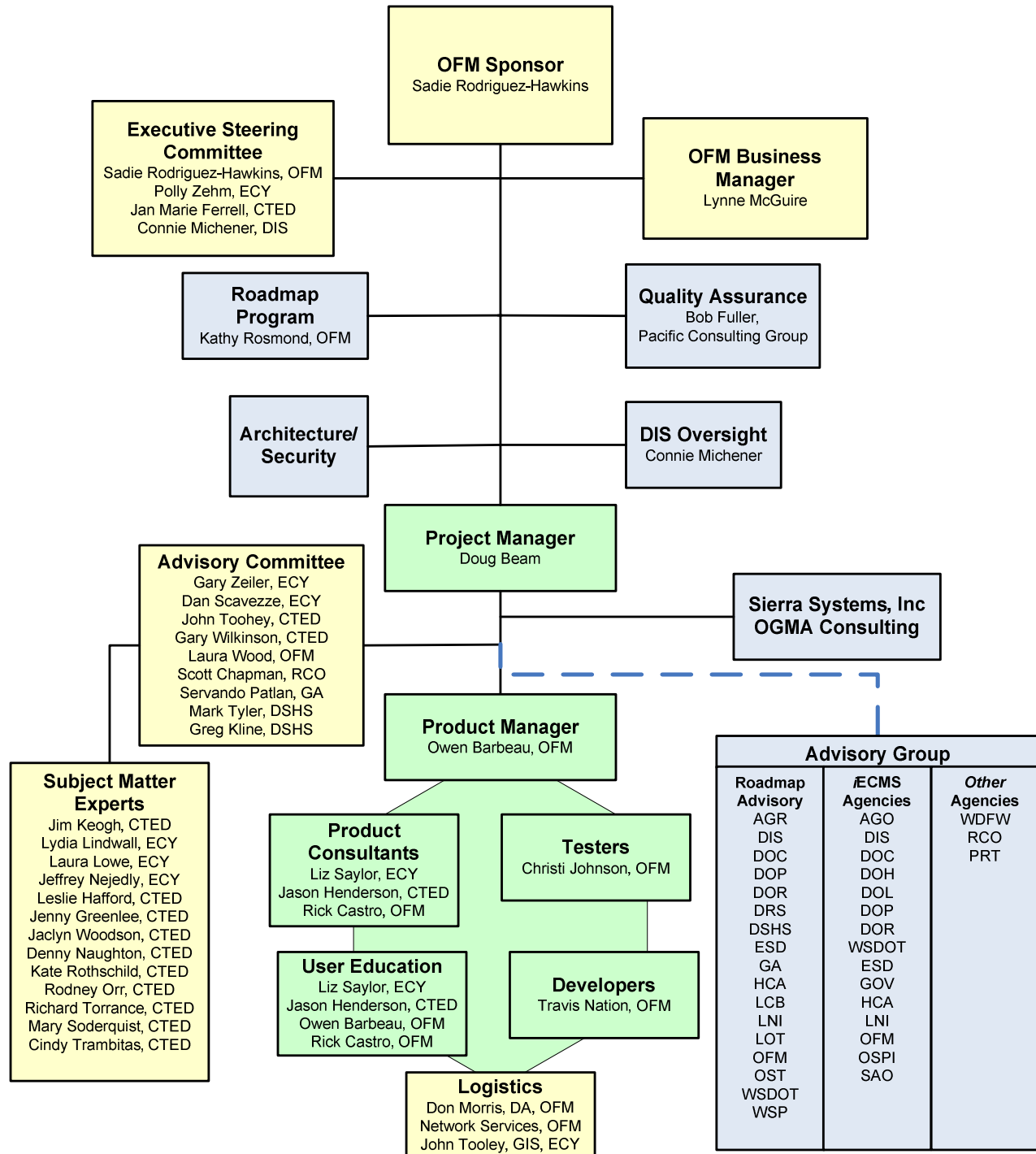
Project

- Oversight for the successful completion
- Receive status reports
- Address information technology policy issues and questions as necessary

Governance



Team Composition



Approach

Information for the business case, requirements, and project approach were drawn from a variety of sources including:

1. Previous requirements studies for CTED and ECY.
2. Requirements interviews.
3. Information from ECY, CTED and OFM staff.
4. Requirements review sessions with ECY and CTED subject matter experts and
5. A requirement review session with representatives from an advisory group of 21 agencies.
6. Current *Roadmap* products, including the Grants and Contracts Value Proposition documents.
7. Responses from seven vendors to a Request for Information in 2006 and product demonstrations provided by four of these vendors.
8. Other vendor product research.
9. Other vendor information.
10. Best practices, as learned from experience and documented in Gartner studies.

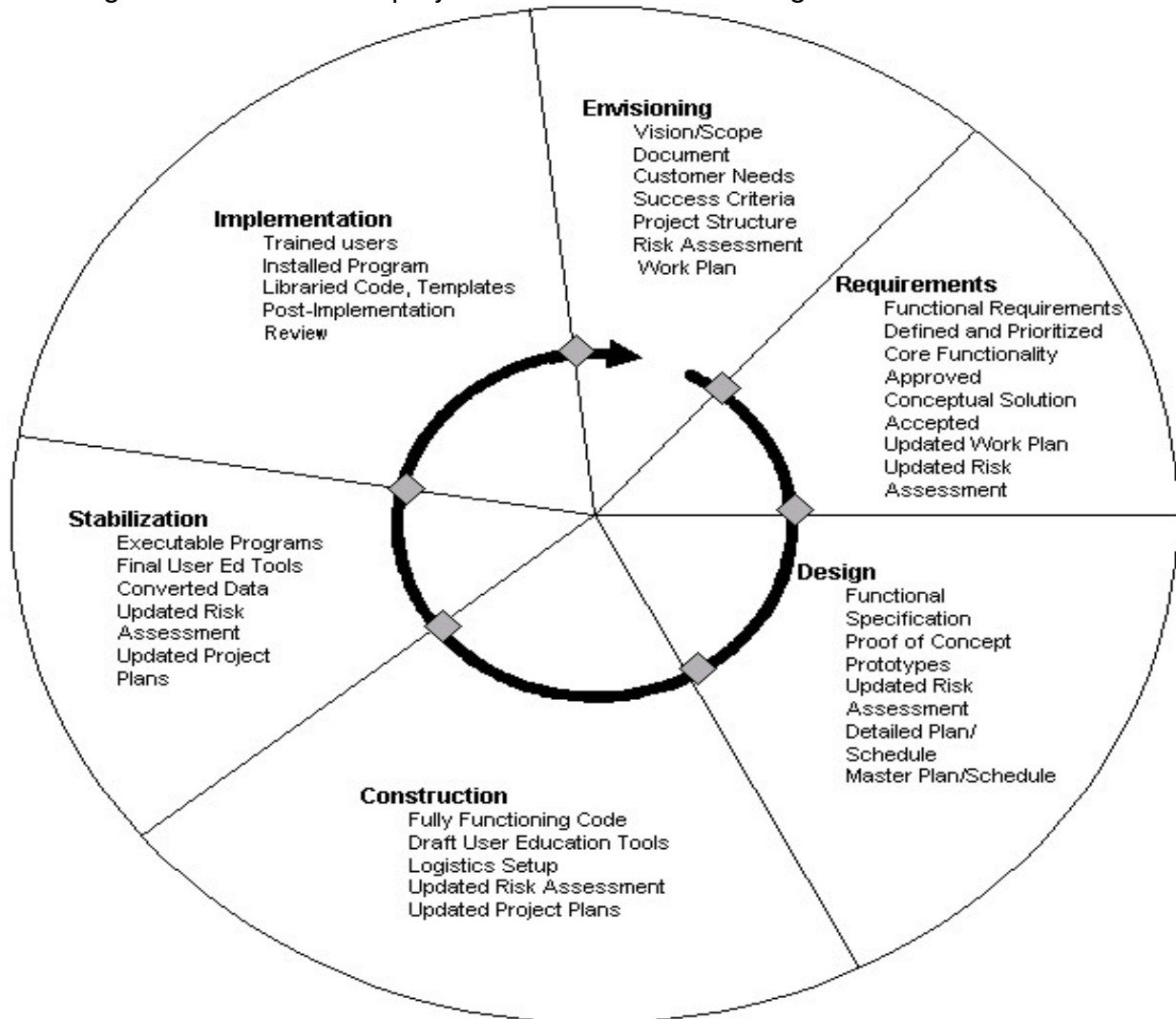
The project initiation will ensure that expectations are clear and that a course is set to deliver the desired results. OFM will move quickly to establish the project team structure and operations with the ECY and CTED staff assigned to this initiative. The project team will gather project objectives and expectations from a variety of sources and review them. The project team will work to refine and detail the project plan. The project team will document the key expectations, objectives, plan, risk and change management, deliverable acceptance criteria, and other key elements in a project plan.

Under normal circumstances the project team would follow an incremental development approach by developing the core functionality first (highest priority), and providing subsequent functionality in future releases using the Microsoft Solutions Framework as a guide.

The project team would build features into core release to support critical grants, contracts, and loans business processes that are common throughout the enterprise.

1. Iterative approach to development.
2. Customer deliverable checkpoints - Customer evaluation and feedback at the end of each phase (envisioning, requirements, design, construction, stabilization, implementation)
3. Risk driven schedule – ensures highest priority risk items are addressed early in project and tracked throughout development cycle.
4. Prototyping to validate usability – ensure usability of product features.

However, the approach taken in the project may change based on the product selected and the vendor team providing integration services. It is important to recognize that the GCLM project team will need to be agile.



Assumptions and Constraints

Assumptions:

1. Requested resources will be provided to the project or project scope will be adjusted to accommodate resource availability.
2. Allocated resources will be able to spend the projected time on this project.
3. GCLM will include functionality that is currently available in the Contracts and Grants Payable system and the *interim* Enterprise Contracts Management System, unless the GCLM team members deem that functionality unnecessary or out of scope for the initial release.

4. Integration with existing systems will be seamless.
5. Legacy grant systems will be linked with the new GCLM system and will continue to be used for a period of time until specific appropriation has been approved for their migration.
6. For a statewide system, OFM as the host agency will have primary data management responsibility for backup and recovery, archival, and destruction of data stored in the GCLM system. Other participating agencies will have secondary responsibility for the data provided to, or used by, the GCLM system.
7. Each participating agency will have responsibility for security; however, OFM will have the primary responsibility for maintaining adequate security and authentication processes.
8. The enterprise reporting and AFRS support staff, and other groups at OFM affected by the implementation of an enterprise GCLM system will participate in implementation activities as appropriate.

Constraints:

1. There may be limited consolidation of forms because of the diverse nature of many agencies and programs, and due to statutory and regulatory issues.
2. The Department of Information Services has been developing an architecture that will facilitate enterprise solutions across the state. The GCLM must:
 - a. Enable the statewide enterprise architecture direction.
 - b. Meet enterprise security standards.
3. The Roadmap program has identified common financial and administrative processes for handling grants, contracts, and loans. The GCLM must:
 - a. Support those processes and allow “unplugging” components as these services are provided by enterprise financial systems.
 - b. Avoid tight integration of components in the enterprise resources band. If any of their functionality is included in the GCLM, it should be loosely coupled.
4. Use AFRS coding elements as defined by the agencies

Performance Measures/Outcomes

Predetermined methods for assessing whether the project has achieved its goals

To be provided in future releases of this document

Risk Analysis

The risk analysis is the assessment of what could go wrong (risks), determination of which risks warrant preventive or contingency actions, and development of strategies to deal with those risks. The stakeholders involved in preparing the Charter, should identify the business, political, and general risks, as well as any technical risks, to the project.

Risk analysis information will be provided in the Risk Management Plan document.

Plan for the Next Phase

Describe the plan for next phase. Usually this will be the project planning phase. Identify tasks, assignments, schedules and deliverables necessary to create the project plan. This plan is not the project plan itself, but a listing of the project plan deliverables and a description of how those deliverables will be created.

To be determined

Expected Impact to the OFM IT Environment

Identify impacts to the OFM IT Environment including changes required to current Human Resources, Policies and Procedures, Technology, or Business Relationships. See Appendix A for details.

Acceptance

We, the undersigned project members, have reviewed this document and approve its contents:

| Name and Title | Signature | Date |
|---|-----------|------|
| Sadie Rodriguez-Hawkins Executive Sponsor | | |
| Jan Marie Ferrell Executive Steering Committee | | |
| Polly Zehm Executive Steering Committee | | |
| Lynne McGuire Business Manager | | |
| Doug Beam Project Manager | | |

Appendix A: Expected Impact to the OFM IT Environment

Identify impacts to the OFM IT Environment including changes required to current Human Resources, Policies and Procedures, Technology, or Business Relationships.

a. Impact to the OFM IT Architecture

(Will this project be compliant with the current OFM IT Architecture? If not explain required changes to the current OFM Enterprise Architectural Standards including an explanation as to why the current standard is not acceptable?)

b. Impact to the OFM IT Infrastructure

Network Environment (Will this project require changes to the current OFM network environment? This could include new locations, servers, software, or services not currently operational).

End User Environment – (will this project require changes to OFM end user hardware or software standards).

System Interface or Data Sharing – (If this project requires a system interface or data sharing with an entity outside of OFM explain the details (e.g. what data will be exchanged, how will the interface be constructed, what data transfer methods will be used?))

c. Impact to the OFM IT Security

- i. Availability – What are the availability requirements for this project? This should include an explanation of disaster recover, data backup, acceptable outage times, and customer expectations.
- ii. Integrity – If this project deals with “data” then explain how the integrity of that data will be managed.
- iii. Confidentiality – What is the data security classification for the data touched by this project? (e.g., Public, Confidential, or Requiring Special Handling) If classification is “Requiring Special Handling”, provide a detailed explanation.
- iv. Capacity – (What are the requirements for storage, bandwidth, etc. of this project)
- v. Access Control – If this project deals with “data” explain how access control will work. This should include explanations

for user identification, user authentication, user authorization, and any require access controls for folders or shares.

d. **Legal, Policy, Procedure Implications**

Agreements & Contracts – (Will this project require agreements or contracts of any kind? This includes data sharing, data interface, or service level agreements between OFM and any other entity. It also includes any vendor contracts OFM must sign.)

OFM Policy Review – (Will this project impact current OFM IT Policy or require new policy development?)

OFM Procedure Review – (Will this project require any changes to OFM IT (ISD or SWFS) operational procedures?)

e. **Subject Matter Expert Impact Reviews**

(Explain whether there is or is not a need to review this project with the OFM IT Architect, ISD Senior Engineer, and IT Security Administrator.)

Appendix B: Revision History

| <u>Revision</u> | <u>Date</u> | <u>Author</u> | <u>Description of change</u> |
|-----------------|-------------|---------------|---|
| 1.0 | 6/6/2006 | Doug Beam | Created |
| 1.1 | 6/11/07 | Doug Beam | Acceptance added names/titles to signature block; Business Drivers added Departments of; Vision 4 modified; Objectives 2 & 5, last bullet modified for consistency; In Scope 11 & 12, punctuation; Out of Scope 1, 2, & 3, punctuation, 4 changed for clarification; Schedule inserted RFP events; High Level Deliverables – Project Management Plans added investment, staffing, maintenance and operations, implementation and transition, testing, QA, & training; Roles and Responsibilities – separated Sadie’s roles & added Sadie to Executive Steering Committee, added Allen, Customer Group, named Database Administrator & Tester, External QA; Governance Model & Team Composition – updated; Assumptions – 6 punctuation, 8 removed duplicate ER entry; Constraints – 2 & 3 replaced selected solution with GCLM, 3 a & b clarification; |
| 1.2 | 6/12/2007 | Doug Beam | Incorporated changes from Sadie for consistency of GCLM and including contracts. |
| 1.3 | 8/23/2007 | Doug Beam | Replaced Debbie Stewart with Dan Scavezze, David Koch with Debbie Kendall, and added Travis Nation. Update Team Composition. |

Grants, Contracts, & Loans Management System

Project Charter

Updated: July 29, 2008

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|-----|-----------|--------------|---|
| 1.4 | 9/5/2007 | Doug Beam | Added additional roles and responsibilities for DIS; Added ISB roles and responsibilities. |
| 1.5 | 2/20/2008 | Doug Beam | Updated roles and responsibilities with new members of the advisory committee and fixed their role and added PSG. Updated the Team Composition chart. |
| 1.6 | 3/24/2008 | Doug Beam | Replaced Allen Schmidt with Lynne McGuire and Added Rick Castro. |
| 1.7 | 7/24/2008 | Anwar Wilson | Replaced Susan Dodson with Owen Barbeau. |